02-02-05 *USS*

**BRINKS
HOFER
GILSON
&LIONE**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: Juergen STARK, et al.

Appln. No.:   09/661,499

Filed: September 14, 2000

For: INDIVIDUAL XML MESSAGE
                PROCESSING PLATFORM

Attorney Docket No: 11822-8

Examiner: Benjamin R. Bruckart

Art Unit: 2155

Mail Stop Amendment
Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

Sir:

TRANSMITTAL

Attached are:

☒   Transmittal Letter; Third Supplemental Information Disclosure Statement (2 pages); PTO 1449 (1 page); Required Copies of Cited References

☒   Return Receipt Postcard

Fee calculation:

☒   No additional fee is required.

☐   Small Entity.

☐   An extension fee in an amount of $_____ for a _____-month extension of time under 37 C.F.R. § 1.136(a).

☐   A petition or processing fee in an amount of $_____ under 37 C.F.R. § 1.17(_____).

☐   An additional filing fee has been calculated as shown below:

	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra		Small Entity		or	Not a Small Entity	
						Rate	Add'l Fee		Rate	Add'l Fee
Total		Minus				x $25=			x $50=	
Indep.		Minus				x 100=			x $200=	
First Presentation of Multiple Dep. Claim						+$180=			+ $360=	
						Total	$		Total	$

Fee payment:

☐   A check in the amount of $_____ is enclosed.

☐   Please charge Deposit Account No. 23-1925 in the amount of $_____. A copy of this Transmittal is enclosed for this purpose.

☐   Payment by credit card in the amount of $_____ (Form PTO-2038 is attached).

☒   The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,

_____
Date

_____
Amir N. Penn (Reg. No. 40,767)

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THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-
1.98, and more particularly in accordance with 37 C.F.R. §1.97(c), Applicants hereby
cite the following reference(s):

US PATENT DOCUMENTS

	DOCUMENT NUMBER Number-Kind Code (if known)	DATE	NAME
D1	5,796,394	08/18/1998	Wicks et al.

OTHER ART REFERENCES

D15	ARBANOWSKI, Stefan and VAN DER MEER, Sven, "Service Personalization for Unified Messaging Systems," *Computers and Communications, 1999.* Proceedings. IEEE International Symposium on Red Sea, Egypt July 6-8, 1999, Los Alamitos, CA, USA, *IEEE Comp. Soc.*, US, July 6, 1999, pp. 156-163.
D16	INTERNATIONAL BUSINESS MACHINES CORPORATION: "Multi-modal data access" *Research Disclosure*, Kenneth Mason Publications, Hampshire, GB, Vol. 426, no. 114, October 1999, 8 pages.
D17	PATEL, Ahmed and GAFFNEY, Kevin, "A technique for multi-network access to multimedia messages," *Computer Communications*, Elsevier Science Publishers BV, Amersterdam, NL, vol. 20, no. 5, July 1, 1997, pages 324-337.
D18	VAN DER MEER, Sven, ARBANOWSKI, Stefan and MAGEDANZ, Dr. Thomas, "An Approach for a 4th Generation Messaging System," Autonomous Decentralized Systems, 1999. Integration of Heterogeneous Systems. Proceedings. The Fourth International Symposium on Tokyo, Japan, March 21-23, 1999, Los Alamitos, CA, USA, *IEEE Comput. Soc.*, US, March 21, 1999, 10 pages.

Applicants are enclosing Form PTO-1449 (one sheet), along with a copy of each
listed reference for which a copy is required under 37 C.F.R. §1.98(a)(2). As each of
the listed references is in English, no further commentary is believed to be necessary,

-1-

37 C.F.R §1.98(a)(3). Applicants respectfully request the Examiner's consideration of the above reference(s) and entry thereof into the record of this application.

By submitting this Statement, Applicants are attempting to fully comply with the duty of candor and good faith mandated by 37 C.F.R. §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 C.F.R. §1.56(a).
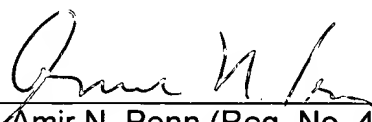
For purposes of 37 C.F.R. §1.704(d), Applicants certify that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart application, and that this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty days prior to the filing of this Statement.

Applicants certify pursuant to 37 C.F.R. §1.97(e)(1) that no item of information in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application more than three months days prior to the filing of this Statement. Accordingly, Applicants have calculated no fee to be due in connection with the filing of this Statement. However, the Director is authorized to charge any fee deficiency associated with the filing of this Statement to a deposit account, as authorized in the Transmittal accompanying this Statement.

Respectfully submitted,

2/11/05
Date

Amir N. Penn (Reg. No. 40,767)

FORM PTO-1449	SERIAL NO. 09/661,499	CASE NO. 11822-8
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	**FILING DATE** September 14, 2000	**GROUP ART UNIT** 2155
(use several sheets if necessary)	APPLICANT(S): Juergen Stark, et al.	

REFERENCE DESIGNATION   U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER Number-Kind Code (if known)	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	D1	5,796,394	08/18/1998	Wicks et al.		
	D2					
	D3					
	D4					
	D5					
	D6					
	D7					
	D8					
	D9					

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER Number-Kind Code (if known)	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO
	D10					
	D11					
	D12					
	D13					
	D14					

EXAMINER INITIAL		OTHER ART – NON PATENT LITERATURE DOCUMENTS (Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.
	D15	ARBANOWSKI, Stefan and VAN DER MEER, Sven, "Service Personalization for Unified Messaging Systems," *Computers and Communications, 1999.* Proceedings. IEEE International Symposium on Red Sea, Egypt July 6-8, 1999, Los Alamitos, CA, USA, *IEEE Comp. Soc.*, US, July 6, 1999, pp. 156-163.
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EXAMINER	DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.